



Begin with the End in Mind:

A Records Management and
Archives Manual for Texas Legislators



Texas
State Library
and Archives
Commission



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Introduction



Your Records are Important to Texas

As a member of the Texas Legislature, the records created by you and your staff and received in your Capitol and district offices document your unique contribution to Texas history and culture. The records you create support a specific business purpose and are evidence of the legislative process. Once the records no longer serve their primary purpose, selected records are identified as having enduring archival value and worth for long-term preservation. Such records contribute to our understanding of government, preserve historical and cultural memory, ensure an informed citizenry, and are crucial to democracy.

This manual is designed to assist legislators—and their staffs—to mindfully create, use and maintain their legislative records to ensure that records designated as having permanent value are identified and preserved. Establishing a strong records management program within your Capitol and district offices helps assure that your records are more efficiently transferred, accessioned, arranged, described and preserved by the Texas State Library and Archives Commission. This guarantees their access and facilitates use by state government, citizens, and researchers today and in the future.

This manual describes:

- the role and mission of the Texas State Library and Archives Commission
- the importance of preserving legislative records for use by government employees, citizens and researchers
- the records life cycle
- the concept of archival value
- why creating and maintaining excellent records management practices for both paper and electronic records is essential
- how to prepare records for transfer
- what to expect when transferring records to the Texas State Archives
- the process governing privacy, closure of records and the Texas Public Information Act
- what happens to your records once they go to the Texas State Archives
- archival practices and how they relate to legislative records

Chapter 1

The Texas State Library and Archives Commission

Vision

The people of Texas have access to and effectively use information, archival resources, public records and library materials to improve their lives, the lives of their families and their communities. All people will benefit from expanded opportunities and resources to explore diverse pathways to knowledge and wisdom.

Mission

The mission of the Texas State Library and Archives Commission is to safeguard significant resources, provide information services that inspire and support research, education and reading, and enhance the capacity for achievement of current and future generations. To accomplish this, we

- *Preserve the record of government for public scrutiny,*
- *Secure and make accessible historically significant records and other valuable resources,*
- *Meet the reading needs of Texans with disabilities,*
- *Build and sustain statewide partnerships to improve library programs and services, and*
- *Enhance the capacity for achievement of individuals and institutions with whom we work.*

The Texas State Library and Archives Commission administers the state's library and records programs. There are six divisions and programs: Archives and Information Services, Library Development and Networking, State and Local Records Management, Talking Book Program, Administrative Services and Information Resources Technologies.

The Archives and Information Services division oversees the transfer of legislative records to the Texas State Archives.

The Archives War

The early Texas republic faced many decisions, including choosing a site for a permanent capital. The Texas Congress favored a Central Texas location; however, President Sam Houston preferred the city of Houston. In 1839, President Mirabeau B. Lamar chose a tiny settlement, Waterloo, now called Austin. Forty wagons carried the government archives from Houston to their new home. Over the next several years, the archives would become a highly visible symbol of a tug-of-war for government power in Texas.

In 1841, Sam Houston again became president. The next year, Houston saw his chance to move the capital back to the city of Houston. The Mexican army invaded Texas and took control of San Antonio, Goliad and Victoria. Arguing that Austin was defenseless against Mexican attack, Houston ordered the archives back to Houston.

The citizens of Austin were determined to prevent the move. They formed a vigilante "Committee of Safety" and warned that any attempts to move the official papers would be met with armed resistance. In December 1842, Houston announced that Austin was no longer the capital and ordered the removal of the archives. Twenty men loaded three wagons without incident before being spotted by Mrs. Angelina Eberly. She fired a cannon to alert the citizens of Austin.

The wagons fled with the vigilantes in hot pursuit. Just north of Austin, the wagon train was forced to surrender at gunpoint. The archives were returned to Austin and citizens celebrated with a New Year's Eve party.

from TSLAC website,
<https://www.tsl.texas.gov/treasures/republic/archwar/archwar.html>



Archives and Information Services Division

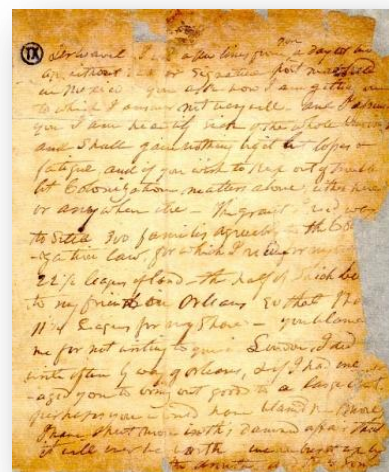
Texas State Archives

Reference and Information Center

Texas Family Heritage Research Center

Sam Houston Regional Library and Resource Center

The Texas State Archives preserves and documents the heritage and culture of Texas by identifying, collecting and making available for research the permanently valuable official records of Texas government, as well as other significant historical resources. Maintaining the official record of Texas government, the State Archives includes archival government records dating back to the 18th century, as well as newspapers, journals, books, manuscripts, photographs, historical maps and other historical resources. These records ensure that all three branches of Texas government are accountable to the people. Taken together, the holdings of the Texas State Archives provide a historical foundation for present-day governmental actions and are an important resource for Texas studies.



**Stephen F. Austin letter
to Arthur G. Wavell,
1824, TSLAC.**

Legislative records are public records; they are owned by the people of Texas. The Texas State Archives holds the records in trust for the people of Texas.

Legislative holdings at the Texas State Archives include:

Bill files; bill history books; memorials and petitions; joint committee records, transcripts and proceedings; and reports of the Legislature and Legislative Council.

House of Representatives committee records; investigative committee records, reports and proceedings; bill files and public hearing files; minutes and witness statements; photographs; and records of individual representatives.

Senate committee records; tapes of hearings; investigative committee records, reports and proceedings; bill files and public hearing files; minutes and witness statements; photographs; and records of individual senators.

Chapter 2

The Authority of Archives

Under Texas Government Code § 441.006, the Texas State Library and Archives Commission must **identify, take custody of, preserve and make available** for public use state records and other historical resources that document the history and culture of Texas. The staff of the State Archives has determined that many of the **records produced by the Texas Legislature**, particularly the records of individual legislators, committees and the administrative arms, provide uniquely valuable insight into and documentation of the role and development of Texas law and government. **Therefore, according to law, when you leave office, certain records created or received and maintained by you and your staff during your term of service must be transferred to the Texas State Library and Archives Commission.**

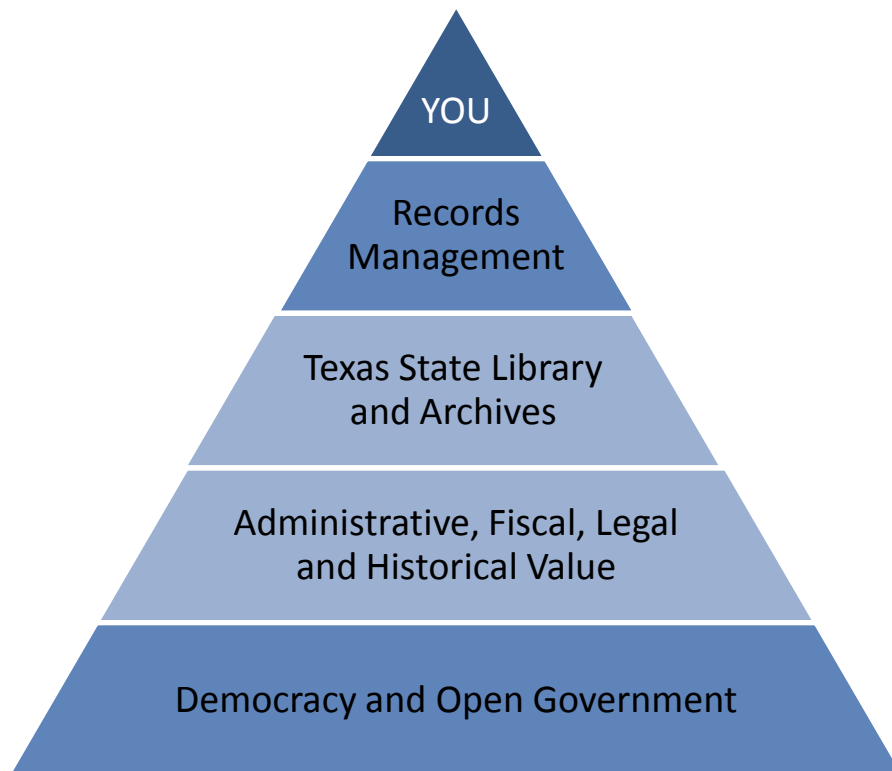
Records of the legislative and executive branches of state government and local government records held by the State Archives are subject to the provisions of **Chapter 552** of the **Texas Government Code**, also known as the **Public Information Act**. The Act makes records open for research with certain exceptions.

"The people, in delegating authority, do not give their public servants the right to decide what is good for the people to know and what is not good for them to know. The people insist on remaining informed so that they may retain control over the instruments they have created."

*—from Texas Statutes, Government Code,
§552.001*

Your records are unique, just as your position as a state legislator, elected to serve the public's interest, is unique. Few Texans have the honor, privilege and responsibility of serving in elected office and participating in their government in this manner. The records you create and receive help construct a composite image of Texas at a specific time and place in Texas history. They reflect the issues that are important to citizens, the composition of our communities, the manner in which citizens participate in their government and the process for creating and passing the laws that govern the people. As the quotation at the beginning of this chapter states, they also ensure accountability and transparency in state government, an essential aspect of a democratic society.

In a sense, your records are just one important part of a larger and richer picture. As a member of the Texas Legislature, you are **integral** to ensuring that the picture is as **complete** as possible.



Chapter 3

What is a Record?

A record contains information that documents a **transaction** and serves as **evidence** of an event or process. A record has value based on circumstances surrounding its "creation, the activity that it supports and the legal and administrative matters surrounding its origination and maintenance."

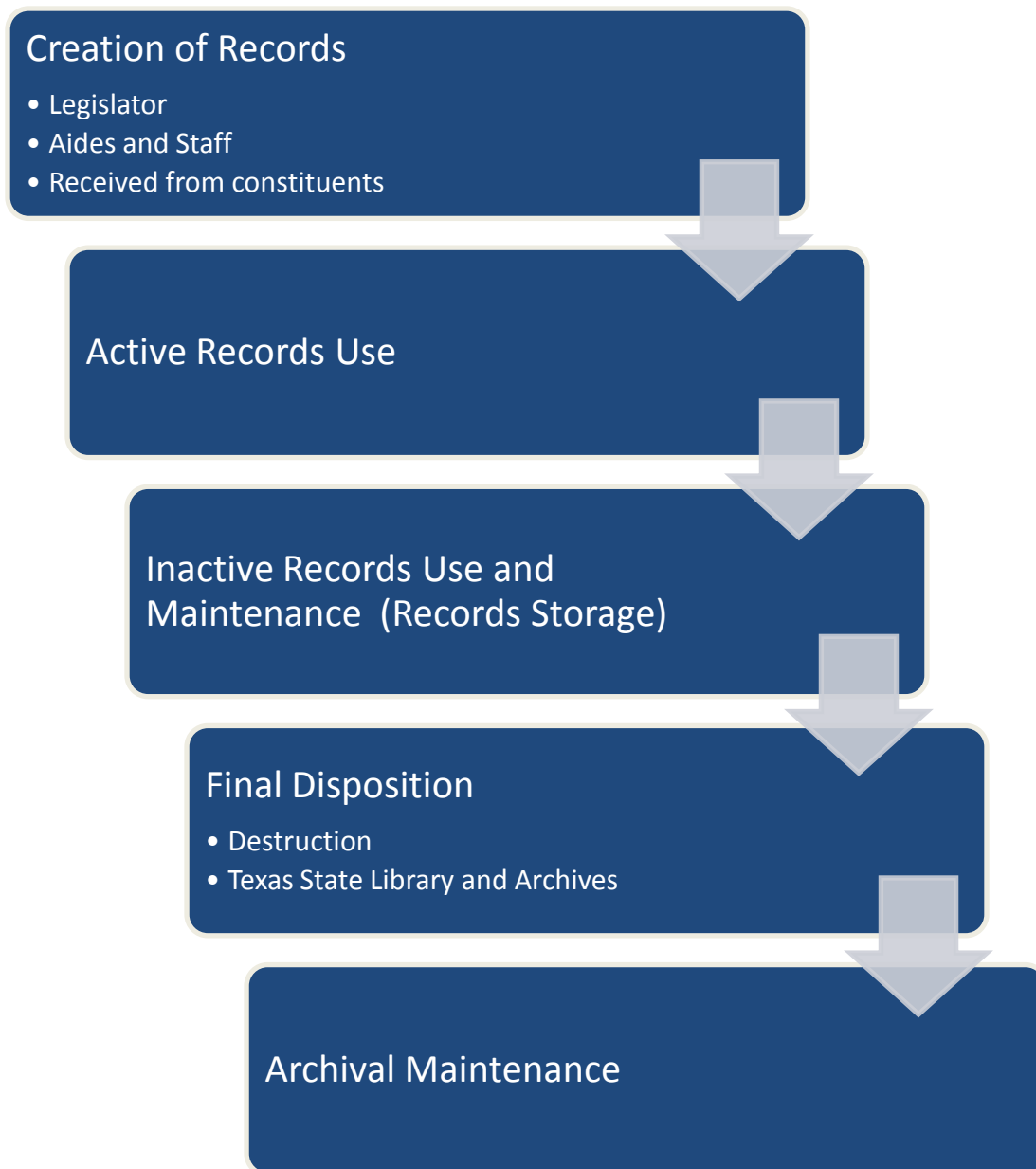
All records, no matter the format, contain basic elements:

- **structure** – the form of the document
- **content** – the information contained within the document
- **context** – the document's relationship to the legislator and staff, its function and other records

Because records derive from business processes, societal institutions regard certain records with a high level of trust and have faith in their ability to provide evidence of events, processes and facts. This presumption is based on a record's intrinsic **authenticity** and **reliability**.

3.1 Creation and Use

Individuals create records out of necessity. Records are the result of specific activities that serve a larger purpose. Once that purpose has been fulfilled and the activities associated with it are complete, the record may be retained for a limited time to serve as a **reminder** of the event, provide **proof** that an event took place or provide **evidence** of compliance. Once those potential needs expire, the record is often **destroyed**. In rare instances, the record is **preserved** for other personal, historical or legal reasons. Records managers and archivists refer to this process as the **records life cycle**.



Steps in the Records Life Cycle

Public Information:

Information that is collected, assembled or maintained under a law or ordinance or in connection with the transaction of official business

(a) by a governmental body;

(b) for a governmental body and the governmental body that owns the information or has a right of access to it.

Information (Record) Media:

—paper
—film
—a magnetic, optical, or solid state device that can store an electronic signal
—tape
—Mylar
—linen/silk/vellum

Information (Record) Formats:

—book
—paper
—letter
—document
—printout
—photograph/film
—tape
—microfiche/microfilm
—photostat
—sound recording
—map/drawing
—voice, data or video representation held in computer memory

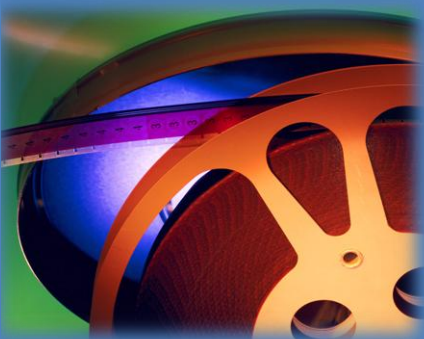
It is crucial that **archivists and records managers collaborate** with legislators and their staffs throughout the records life cycle in order to guarantee that records identified as having archival value are maintained, preserved and transferred to the Texas State Archives. Likewise, if archivists are involved early in record creation, they are better equipped to preserve the **context** of the records.

3.2 The Public's Right to Use Archives

Providing access to records is one of the primary reasons archivists preserve them. Archivists discourage limiting access and/or imposing rigid restrictions on records. A wide range of patrons, each with varying information needs, uses archives. The historical record contained within legislative files contributes to the study of Texas politics, economics and society. Legislative records also provide insights into the legislator as a person, providing a more intimate and human connection with the people we have elected to serve us.

Some common researchers include:

- government agencies, for research on policies and to gather statistics.
- scholars and academics, for research to be used in teaching and publication.
- graduate and undergraduate students, for class projects, theses, and dissertations.
- students, for class reports and Texas History Day projects.
- the public, for genealogical research, to resolve land issues and general historic interest.



Electronic Records

Born-digital records—such as those created using e-mail, word-processing or database programs—pose a great challenge to records managers and archivists. There are many issues surrounding these records and archivists are grappling with long-term solutions.

Consider:

Today's version of a letter is e-mail or an instant message.

Today's version of a journal is an online blog.

Today's version of a scrapbook is a website.

Today's version of a manual or form is a PDF document.

Today's version of a printed photo is a JPEG or TIFF file.

Today's version of an appointment calendar is content stored on a smart phone.

It is necessary to take measures today in order to ensure that records are authentic and reliable. Electronic records also have the added requirement of renderability, which means that digital information is capable of being viewed by humans and processed by computers today and in the future. This requires a strong commitment and investment. We are in jeopardy of permanently losing these records—many of which exist only in an electronic format. This is the case with communications scanned into the **Correspondence Management System** if no hard copy version of the record is kept.

As you prepare to leave office, contact Texas Legislative Council for information about preserving your communications that exist only in CMS, so that they may eventually be transferred to the Texas State Archives.



Chapter 4

Begin with the End in Mind: Managing Your Records

Recent literature regarding the archival use of United States congressional records underscores the importance of establishing a robust records management program within a member's legislative office prior to transfer to an archival repository. A long lapse between active record use and transfer to the archives results in record disorder, incompleteness and possible damage from inadequate environmental conditions.

The benefits of establishing a clearly defined records management program in your legislative office are:

- Records received by Texas State Archives are more complete and exhibit compliance with the Texas Publication Information Act.
- Once records are received, they are more efficiently and cost-effectively arranged, described and physically stored.

In addition, records management programs provide benefits to the legislative office.

- Daily business processes are more efficient because offices know what records exist in their office and they are easily located.
- The creation of duplicate or unnecessary records is minimized.
- The tendency to retain unnecessary or obsolete records is minimized.
- Recordkeeping practices are more consistent.

4.1 Records Management Concepts

The Texas State Library and Archives Commission, in collaboration with the records management officers of the Texas House of Representatives and Senate, has created two tools to aid legislative offices in creating and maintaining their legislative records: the ***State of Texas Records Retention Schedule*** (the Texas House of Representatives and Senate each has its own records retention schedule) and the ***State of Texas Records Management Manual***.

A **records retention schedule** lists and defines the type of records created within a legislative office and the legal requirement for retaining those records. This schedule also identifies those records that have enduring value and need to be transferred to the Texas State Archives. **It is important for legislative offices to apply this schedule to all of their records, including committee records and records located in their district office(s).**

The ***State of Texas Records Management Manual*** outlines commonly used systems for maintaining records within an office. Topics include inventorying records, establishing filing and indexing systems, handling electronic records, document imaging, forms management, records center services and records scheduling.

Please visit the Texas State Library and Archives Commission's website to access this manual: <https://www.tsl.texas.gov/slr/recordspubs/rmm.html>

4.2 Steps to a Records Management Program

As archivists have discovered, particularly in the case of long-serving legislators whose records can be quite voluminous, working with records creators at the beginning of the records life cycle results in better-organized and more accurately described archival records. Once the Texas State Archives receives your records, it is too late to influence the system, and archivists must cope as well as they can with the records they receive.

Take a moment to answer the following questions:

- ✓ Do you and your staff know what a records retention schedule is?
- ✓ Do you and your staff know where the records retention schedule is filed?
- ✓ Do you and your staff know the record types that should be transferred to the Texas State Archives?
- ✓ Is there a staff member in charge of records management within your office?
- ✓ Do you have a way to preserve electronic records, such as e-mail and those created on the Legislative Management System and Correspondence Management System?
- ✓ Do you know the difference between the State Records Center, the Legislative Reference Library and the Texas State Archives?

Establishing an effective records management program in your office requires a commitment from you!

Tips:

- *Make copies of the records retention schedule widely available and easily accessible.*
- *Refer to it on a regular basis, perhaps at the beginning and end of the legislative session.*
- *Compliance is key to success.*

Records Management Objectives:

1. Establish a comprehensive, office-wide records plan that specifies "where to file information" and "how to find it."
2. Create discrete and identifiable office **file series** that are arranged according to guidelines listed in the records retention schedule.
3. Establish guidelines and procedures for maintaining and preserving information on office computers.
4. Identify archival records.

4.3 Legislative Records: Creation and Active Use

Although there are 181 Texas state representatives—each with different constituencies, varying numbers of staff and multiple district and Capitol offices—all state legislators carry out common functions. This makes the task of records management easier because one way to manage records is by **function**. These functions easily translate into **records series**, defined as "a group of similar records that are arranged according to a filing system and that are related as the result of being created, received or used in the same activity."

There are four main functions for elected state representatives, each of which generates specific types of records:

- **Legislative Activities**
- **Constituent Services**
- **Press and Public Relations**
- **Office Administration**

The Records Retention Schedule may not classify some of the records created in support of these functions as archival; therefore, the Texas State Archives does not require their transfer. As the records life cycle demonstrates, however, these records still require a final disposition action (possibly destruction), so please refer to the Records Retention Schedule for guidance in handling such records.

The charts on the following pages will aid in identifying and managing these records. Specifically, the charts:

- list only the records that are required to be transferred to the Texas State Archives.
- describe the four legislative functions.
- describe the type of records and "files series" that are created in support of the function.

<p>Function: LEGISLATIVE ACTIVITIES/ LEGISLATIVE WORKING FILES</p> <p>The records created in support of this function directly facilitate the tasks the legislator was elected to carry out. They reveal what is important to citizens of Texas at a point in time. Legislative files provide evidence of the responsibilities and activities of Texas State legislators and legislative committees and enable the citizens of Texas to hold their elected representatives accountable.</p>		
BUSINESS PROCESSES	RECORDS SERIES EXAMPLES	RECORDS MANAGEMENT SUGGESTIONS
<p>Tasks associated are the central function of a legislative office and include:</p> <ul style="list-style-type: none"> • Assisting with the development of policy positions and legislative initiatives. • Monitoring legislative issues and tracking them in committees. • Researching and writing position papers. • Maintaining voting, attendance, legislative activities and reports. 	<p>Correspondence and E-mail</p> <p>Letters and attachments passing between the legislators and state, federal and local officials and employees, state and federal agencies, private and nonprofit organizations, citizens of Texas and the public at large.</p> <p>The correspondence may respond to legislative requests for information, request assistance from a legislator, or express opinions or concerns regarding proposed or pending legislation, or state, local or national issues.</p>	<p>Correspondence and E-mail</p> <p>Many offices establish a central file for incoming letters. These letters should be logged into the Correspondence Management System, indexed according to the subject of the letter, and assigned a system-generated index number used for filing.</p> <p>Original letters should be retained.</p> <p>Offices should generate and maintain a list of common subject and indexing terms in order to maintain consistency.</p> <p>The office should electronically backup the CMS files and run reports each legislative session.</p> <p>E-mail messages should be logged into the Correspondence Management System, printed onto paper, and filed similarly to letters.</p>

	RECORDS SERIES EXAMPLES	RECORDS MANAGEMENT SUGGESTIONS
	<p>Bill Files/Books</p> <p>Legislative bills and supporting materials, including bill drafts, fiscal notes, bill summaries and histories, routing and tracking forms, correspondence, memoranda, press releases, documentation of committee consideration and other relevant materials that document legislation written and/or sponsored by legislators.</p>	<p>Bill Files/Books</p> <p>Staff members retain bill files according to their assigned subject or issue area. Each bill or issue should have its own file folder. If staff reuse the actual bill book folders, each file should be labeled with the issue or bill and filed by legislative session once removed from the original file.</p> <p>Be sure to incorporate any loose documents relating to a bill into the appropriate bill file and file by legislative session.</p> <p>Electronic and paper files should be mindfully named; electronic directories and subdirectories should be organized by topic or document type (for example, "C:\staff name \ education\letter" or "C: staff name\letter\education. "</p> <p>Records created using the Legislative Management System should be electronically backed up and printed onto paper. They should be filed according to legislative session and topic.</p>

	RECORDS SERIES EXAMPLES	RECORDS MANAGEMENT SUGGESTIONS
	<p>Committee and Council Membership Files</p> <p>Documents from the hearings, meetings and research of legislative committees, interim and joint committees, committees of the whole and other commission or council boards on which legislators serve.</p> <p>Materials can include minutes, agenda, testimony, bill files, research/subject files, reports and studies, correspondence, memoranda, speeches and press releases.</p>	<p>Committee and Council Membership Files</p> <p>File material into series according to legislative session, and then by the initiative or issue.</p> <p>Records created using the Legislative Management System should be electronically backed up and printed onto paper. They should be filed according to legislative session and topic.</p> <p>E-mail messages should be logged into the Correspondence Management System, printed onto paper and filed similarly to letters.</p>
	<p>General Subject Files</p> <p>(may also be called research, working or issues files)</p> <p>Background material on subjects of interest to legislators and may form the basis for proposal of legislation or work on committees, councils or commissions.</p>	<p>General Subject Files</p> <p>File material into series according to legislative session, and then by the initiative or issue.</p>

	RECORDS SERIES EXAMPLES	RECORDS MANAGEMENT SUGGESTIONS
	District Files Records concerning or created/maintained in district offices regarding matters of local district importance.	District Files Some legislators maintain a separate series of district files; others integrate district materials into their broader correspondence and subject files. File into series according to legislative session.

Function: CONSTITUENT SERVICES The records created in support of this function directly reflect the views, goals, and needs of constituents in the legislator's home district. This series provides a revealing and human look at a legislator's efforts to aid his/her constituents. Many legislators spend as much time and effort assisting constituents as developing policy and passing legislation.		
BUSINESS PROCESSES	RECORDS SERIES EXAMPLES	RECORDS MANAGEMENT SUGGESTIONS
<p>Casework and constituent services require substantial amounts of work and staff time for:</p> <ul style="list-style-type: none"> • Processing and logging a high volume of mail in the Correspondence Management System or other system. • Managing and maintaining a response library. • Generating statistical reports. • Responding to constituent policy "issue" mail/e-mails. • Responding to and coordinating constituent requests for assistance. 	<p>Correspondence and E-mail</p> <p>Letters and attachments passing between the legislators, citizens of Texas and the public at large.</p> <p>The correspondence may respond to legislative requests for information; requests for assistance from a legislator; concerns or opinions regarding proposed or pending legislation or state, local or national issues.</p>	<p>Issue Correspondence and E-mail</p> <p>Many offices establish a central file for incoming letters. These letters should be logged into the Correspondence Management System, indexed according to the subject of the letter, and assigned a system-generated index number used for filing.</p> <p>Original letters should be retained.</p> <p>Offices should generate and maintain a list of common subject and indexing terms in order to maintain consistency.</p> <p>The office should electronically backup the CMS files and run reports each legislative session.</p> <p>E-mail messages should be logged into the Correspondence Management System, printed onto paper and filed similarly to letters.</p>

	RECORDS SERIES EXAMPLES	RECORDS MANAGEMENT SUGGESTIONS
	Correspondence and E-mail (continued)	General Information Correspondence and E-mail Should be filed separately from issue or constituent mail to facilitate easy identification and possible removal during final disposition.
	Casework Files Letters, emails, phone conversation memos and other documents passing between the legislators and their constituents. The correspondence may respond to requests for assistance from a legislator, or concerns or opinions regarding proposed or pending legislation or state, local or national issues.	Casework Files Individual staff members likely maintain their own files for cases to which they are assigned. These files should be maintained as a discrete series and not interfiled with other series found within the office. This aids in the identification of records that may contain restricted information and require future review. Should be filed according to legislative session and then by constituent or issue. Letters received should be logged into the Correspondence Management System and indexed according to the subject of the letter. E-mail messages should be logged into the Correspondence Management System, printed onto paper and filed similarly to letters.

Function: PRESS and PUBLIC RELATIONS The records created in support of this function directly facilitate mass communication and public appearances with constituents, citizens at large and groups.		
BUSINESS PROCESSES	RECORDS SERIES EXAMPLES	RECORDS MANAGEMENT SUGGESTIONS
Public relations activities involve coordinating with local news outlets and constituent groups to: <ul style="list-style-type: none"> • Communicate information about issues through press releases, special mailings, newsletters and media outlets. • Communicate through prepared speeches and statements. • Manage and maintain clippings library. • Manage and maintain a photograph library. 	Speeches Drafts and final versions	Speeches File paper copies of substantive drafts and the final version in a discrete series by legislative session, then chronologically. It might be helpful to create a subject index for the speeches.
	Press releases, newsletters, mailings, etc. Drafts and final versions	Press Releases, newsletters, mailings, etc. File paper copies in discrete series by legislative session, then chronologically. Text and mailing lists should be maintained and printed onto paper.
	Clippings Clippings about the legislator and events in which she/her participated	Clippings Photocopy onto paper and file in discrete series by legislative session, then chronologically.
	Photographs Photographs of the legislator at events, etc.	Photographs File photographs into a discrete series by subject categories (portraits, groups, committee meetings, VIPs, etc). Record the date, the occasion, and people appearing in the photo.

Function: OFFICE ADMINISTRATION The records created in support of this function directly sustain the daily functions of the legislative office.		
BUSINESS PROCESSES	RECORDS SERIES EXAMPLES	RECORDS MANAGEMENT SUGGESTIONS
Office administration activities involve: <ul style="list-style-type: none"> • Coordinating schedules. • Monitoring office budget, vouchers and financial records. • Maintaining operating policies, procedures, equipment, manuals, etc. 	General Office Files Internal Memos Manuals Budget Vouchers Organizational Chart Job Descriptions The convenience copies of personnel and travel expenditure records maintained by legislators are not archival and should NOT be sent to the Texas State Archives.	General Office Files File documents into discrete series by legislative session, then arrange by type of record.

Please see the Texas State Records Management Manual for more specific information regarding filing systems, etc., <https://www.tsl.texas.gov/slr/recordspubs/rmm.html>



Texas State Archives

The State Records Center provides state agencies in the Austin area with cost-effective storage of non-current, infrequently used state records in hard copy, electronic (on physical media such as optical disks and on flash or hard drives) and microfilm formats.

Hard-copy records are stored in a climate-controlled facility specifically designed for high-density, low-cost maintenance of records. The electronic and microfilm records are stored in vaults specifically designed to protect these media.

Records stored at the State Records Center are still under YOUR custody. The Center is storing them only until destruction or transfer to the Texas State Archives.

Since the State Records Center is designed for TEMPORARY storage of records, unlike the Texas State Archives, which houses records PERMANENTLY, records can be recalled if needed by the legislator or his/her staff.



State Records Center, TSLAC

4.4 Maintenance

Adequate storage space is always an issue when maintaining voluminous records. Legislators do their best when coping with lack of storage, but this situation often results in haphazard systems that can lead to intermingling of records, accidental destruction or unintentional misplacement.

Fortunately, the Texas State Records Center offers a storage solution for records referred to less than two times per file drawer per month. A **records storage center** is intended for "the orderly preservation of semi-active records of enduring value." It should not be considered a wasteland for "useless" records, but rather a temporary storage space for records that are listed on the State of Texas Records Retention Schedule.

4.5 Final Disposition

As the **records life cycle** illustrates, once a public record no longer serves its initial purpose, it is either destroyed or transferred to the Texas State Archives. The State of Texas **Records Retention Schedule** defines those records with enduring value that are required to be transferred to the Texas State Archives.

Following your Office Records Plan will facilitate easy transfer of your records to the Texas State Archives. It will also assist staff with processing your records. Strive for achieving these minimal conditions for your legislative records:

- Components are defined and clearly labeled.
- "Non-records"—those that are not required to be transferred to the Texas State Archives—are easily identified so as to aid in possible removal and destruction.
- Series are inventoried.
- Non-paper media are identified, labeled, and stored under archival conditions.
- Permanent electronic files are printed on paper.

Chapter 5

Archival Transfer: Preparing Your Records

Similar to coping with inadequate storage space in the legislative office, the Texas State Archives also struggles with **inadequate storage space**.

Consider all of the creating bodies in Texas that are required to transfer some subset of all of the records they create (those with enduring value) to the Texas State Archives: both bodies of the Texas legislature, the executive branch of state government and numerous state agencies. Therefore, in order to handle effectively the receipt of a large volume of new records acquisitions, the Texas State Archives **requires** legislators to follow **a streamlined process**. While this process may seem complex, it contributes to the efficient use of state resources—time and money.



Loading records, circa 1960s, TSLAC

5.1 Transfer: What and When

Now that you have an office records management system in place, have organized your records by legislative function and session and maintained them according to your records management system and schedule, transferring the records series that you are required to send to the Texas State Archives should be a rather smooth process. The following are the basic steps for completing the transfer process:

- ✓ Packing records
- ✓ Inventorying records
- ✓ Deciding upon an archives repository—*optional*
- ✓ Completing required forms for transfer and to assign level of access to communications
- ✓ Physical transfer

House of Representatives

The records of state representatives should be formally transferred to the State Archives in accordance with the records retention schedule of the Texas House of Representatives, currently designated as the end of the term of office. Official committee records may be transferred after the end of term of each chairperson, and when they are of no further administrative use to the Committee. **The amount of time for retention may change, so always refer to the Texas House of Representatives Records Retention Schedule.**

Senate

The records of state senators should be formally transferred to the State Archives in accordance with the records retention schedule of the Texas Senate, specifically at the end of the term of office. Official committee records may be transferred four years after they are of no further administrative use to the committee. **The amount of time for retention may change, so always refer to the Texas Senate Records Retention Schedule.**

5.2 Physical Preparation: Packing and Ordering Your Records

5.2.1 For records in your offices:

5.2.1.1 *Records totaling 50 cubic feet or less (about 25 file drawers)*

You can transfer records totaling 50 cubic feet or less **directly to the Texas State Archives**. Pack the records into records storage boxes. Keep the records in order and leave them in their folders.

Packing instructions for transfer of archival records directly to Texas State Archives

- Pack your archival records for transfer to the State Archives in records storage boxes (16 inches x 12 ½ inches x 10 ½ inches) with lift-off lids.
- In estimating the number of boxes you need, figure two boxes per letter-size file drawer and 2 1/2 boxes per legal-size file drawer.
- Assemble the boxes correctly (See Appendix B for box assembly instructions) to ensure their structural integrity and to protect the contents. Be sure that all flaps are tucked inside including the handhold flaps, which should be tucked between the two side walls of the box.
- Keep the records in their original order, whether alphabetical, numerical, chronological or some other arrangement scheme, when removing the records to be transferred from their filing location.
 - For files in numerical order, place the lowest number to the front of each box.
 - For files in alphabetical order, begin with "A" in the first box.
 - For files in chronological order, place them in the box by consecutive dates.
- **Leave the records in their folders.** Place any loose records in labeled folders.

Records storage boxes are available in packs of 25 from TIBH Industries, at: <http://www.tibh.org>

The boxes are called "Fiberboard Case Storage Box. Archive Box."

You can do a product search for the Commodity Code 615-37-13085.

Note: The use of containers other than the standard records storage box must receive prior approval from the State Archives.



- **Do not include hanging files.** If records are stored in hanging files, transfer them to a file folder and replicate the label used on the hanging files.
- Folders must be **accurately labeled**.
- Place the folders upright in the records storage box.
- Both legal and letter size folders should go in **facing the long side of the box**.
- Stack computer printouts and ledgers on the bottom of the box facing the lid. Do not stack paper above handholds.
- Do not overfill or underfill the boxes. Leave enough free space to allow easy retrieval.

5.2.1.2 *Records totaling more than 50 Cubic Feet (more than 25 file drawers)*

For records totaling **more than 50 cubic feet**, the records are transferred to the legal custody of the State Archives, but **held at the State Records Center** (see page 24 for an explanation of the difference between the two). You will need to provide the Texas State Archives with the same detailed information regarding the records to be transferred that you would provide to the State Records Center for temporary storage of records.



Records Center stacks, circa 2008, TSLAC

5.2.1.2.a **Information required when transferring agency records to the State Archives that will first be held at the State Records Center**

Record the following:

- Number of containers
- Record series title (maximum 51 characters)
- First inclusive date (format must be: MM/DD/YYYY)
[if you have only the year, use 01/01/YYYY]
- Last inclusive date (format must be: MM/DD/YYYY)
[if you have only the year, use 12/31/YYYY]
- Contact name (maximum 26 characters)
[your staff contact in charge of the transfer]
- Contact phone (maximum 16 characters)
[agency contact's phone]
- Division name (maximum 40 characters)
[agency contact's division]

And for each container, record:

- Agency container number (maximum 11 characters)
- Beginning folder title (40 characters maximum)
- Ending folder title (40 characters maximum)

5.2.1.2.b Preparing records for storage at the State Records Center

State Records Center staff annually transport more than 60,000 cubic feet of records from approximately 110 state agencies to the records center. To facilitate the transfer process and improve management controls over the records in storage at the SRC, we ask your assistance in following the procedures listed below. Deviating from these established procedures may result in unnecessary delays in completing your transfer.



Receiving rooms, circa 1960s,
TSLAC

Records storage box requirements

- Unless otherwise approved on the RMD 106, Records Storage Approval Form, all records must be packed in the standard records center storage box.
- Boxes must be new and free of all markings except for the agency box number as described below in the section, **Numbering boxes**.
- An exception may be made for boxes used to store records at the agency prior to transfer to the SRC. **See page 26 for additional information regarding box requirements and ordering information.**

Packing records to be stored

- When removing records from file cabinets, keep them in order. For example:
 - If filed in numerical order—begin packing the first box with the lowest number as the first file and pack all files in order, ending with the highest number as the last file in the last box in a shipment.
 - If filed in alphabetical order—begin with "A" in the first box and keep the files in order throughout so the last letters of the alphabet will be in the last box.
- If records in the file cabinets are not arranged in a logical order that can be used for retrieving files, they must be put in order before packing boxes. For the purpose of returning files to the agency from records in storage, SRC staff must be able to quickly and easily locate a file within a box.
- Pack only one records series with the same disposal date in the boxes for the same shipment.
- **Do not include hanging files.** If records are stored in hanging files, transfer them to a file folder and replicate the label used on the hanging files.
- Place both legal-size and letter-size records upright in the box, as they would be arranged in a file drawer. Leave two (2) inches of space in the box.
- Place both legal- and letter-size records in the box sideways, **facing the long side of the box**.
- Stack computer printouts and ledgers on their backs facing the lid of the box. Do not stack above handholds.

Numbering boxes

- Mark each box number 1-inch-high to the left of the handhold.
- Number boxes in consecutive order. The box number may include an alpha code (such as AC for accounting) and does not have to start with "1," since you may have previously sent boxes of the same records series to storage. For example, if you sent three boxes of vouchers to storage in September (numbered AC-1, AC-2, AC-3) and you are sending two more boxes of vouchers to storage in October, you may want to number the boxes on the October transmittal as AC-4 and AC-5.
- Do not duplicate the same number on the same transmittal.
- Do not put the box numbers on lids.
- **See Appendix B for box-numbering example**

Stacking boxes for pick-up

- Stack boxes six high or less to prevent crushing of bottom boxes.
- Stack boxes in numerical order. Boxes must be stacked with the first or lowest number as the top box. This is required to reduce the number of times the boxes have to be lifted and moved in order to be accessioned into storage.
- Keep boxes for each transmittal together in one location.
- The agency contact person will be called to schedule the pick-up of containers. Be sure the contact person is available at that time as unresolved questions will prevent the container from being picked-up.
- **See Appendix B for box-stacking example**

Verifying contents of containers for storage

- The identifying information on the file folders for the first and last files in each container must match the transmittal information.
- Box numbers must agree with the transmittal information.
- The first/last files and the box numbers will be checked by SRC staff as needed to ensure that the correct group of containers is being picked up for storage and that the records will be maintained for the approved period of time before disposal.
- Agency staff must maintain an itemized list of all the files in each container. If you need to request the return of a file from storage, you must be able to identify the container in which it is located.
- **Refer to the Texas State Records Management Manual, State Records Center Procedures chapter for additional information and detailed instructions.**
- State and Local Records Management offers training in preparing and sending your records to storage at the State Records Center. See the list of upcoming training classes at <https://www.tsl.texas.gov/slrmanagement/training/index.html>, or contact the training coordinator at (512) 463-7610 to register or inquire about the Records Center Procedures class.

5.2.2 For records being held at the State Records Center

Staff of the State Records Center will notify the House or the Senate records management officer when the records have fulfilled their storage retention and are eligible for final disposition. Once disposition is approved and the records are archival, they will be transferred to the State Archives.

Quick reminders for packing boxes

- ✓ Do NOT include hanging files – they take up a lot of space, don't fit correctly, and make stacking boxes impossible.
- ✓ Place all loose records in a labeled file folder.
- ✓ Put LEGAL **and** LETTER folders facing the long side of the box – it makes the boxes lighter and allows use of the handles.
- ✓ Don't OVERFILL or UNDERFILL boxes.
- ✓ Don't tape the boxes.

All of these measures reduce waste and increase efficiency.

5.3 Legal Preparation: Archival Depositories and Public Disclosure

5.3.1 Selecting a depository

It is customary for legislative records to be housed at the Texas State Archives, located in the Lorenzo de Zavala State Archives and Library Building in Austin, Texas. The reason for this is both symbolic and practical. As the state's capital and seat of Texas state government, Austin is an obvious location for the records of its public servants. Centralized archives located within the Capitol complex provide convenient access to the records for the Legislature, state agencies and Texas citizens.



Governor and Mrs. Price Daniel cutting the ribbon of the Lorenzo de Zavala State Archives and Library Building, 1962, TSLAC

Furthermore, maintaining public records according to archival standards requires a commitment in resources from the state, as manifested in budgetary allocations. Many libraries and smaller archival repositories are not adequately equipped, either in staff or space, to preserve and provide access to these records.

However, you do have another option and can place your records in one of the Texas State Library and Archives Commission's designated **Regional Historical Resource Depositories**. The institution must have an archivist on staff and possess climate-controlled and adequate storage space for the records. Please see Appendix C for a list of depositories. Contact the Assistant Director for Archives at (512) 463-5500 in order to obtain approval to transfer your records to one of the Regional Historical Resource Depositories.

Keep in mind that when you transfer your records to a Regional Historical Resource Depository, they are in the legal custody of the Texas State Archives and they become the property and the responsibility of the Texas State Library and Archives Commission. The records cannot be transferred back to you or your staff. However, no matter where your records are permanently housed, you may access them by visiting that depository's Archives Reading Room and following the procedures for use.

5.3.2 Public disclosure and confidential records

As a part of the transfer of records, the Library and Archives Commission, in accordance with **Texas Government Code Chapter 306** and **Chapter 323**, needs a letter or formal statement from you indicating the extent to which you wish to **allow public access to your communications with citizens/residents of this state and with the Texas Legislative Council**.

Government Code Chapter 306 governs public access to certain official state records of legislators, both in their individual capacities and as members of legislative committees, task forces, joint committees and other legislative bodies. In accordance with the provisions of this statute, communications with Texas citizens/residents by legislators created or maintained on or after June 12, 1985, are confidential unless disclosed/released by the legislator. Communications affected by this law include all forms of constituent and other citizen correspondence, including letters, e-mail, telephone message slips, etc., on any and all subjects.

Government Code Section 323.017 governs public access to communications between a member of the Legislature or the lieutenant governor and the Texas Legislative Council.

Accordingly, when you begin to transfer your official state records to the State Archives or one of its Regional Depositories, you will fill out a form that allows you to designate the degree of access you wish to allow the public to your communications. This form is referred to as the **Statement of Intent Under Texas Government Code Chapter 306 and Chapter 323**. The Texas House of Representatives and Texas Senate each have a version of this form.

The form will provide you with three options for allowing access to your communications. You may choose to:

- 1) **Immediately open your communications** (which the Texas State Archives strongly recommends);
- 2) **Close your communications until a specific day and year;**
- 3) **Permanently close your communications to the public.**

If the Commission does not receive a completed copy of this form or other written statement of your wishes in regard to Texas Government Code Chapter 306 and Chapter 323 before you leave office, the Commission must, by default, permanently close your communications. If a member of the public requests to see part or all of your communications under this circumstance, the State Archives will contact the public information officer of the House of Representatives or the Senate, who will make the decision regarding access to the requested records. The State Archives may also submit, on behalf of the House or Senate, an open records ruling request to the Texas Office of the Attorney General, who will make the ultimate decision regarding opening all or a portion of these records.

Great care and consideration should go into completing this form. The records you are transferring were created in the course of the state's business and on behalf of the people. You would not have the opportunity to create these records if it weren't for the fact that the people elected you into such an esteemed position. Therefore, **these records belong to the people of Texas**, and while **in certain instances portions of records should and will remain closed as required by law**, the people under the **Public Information Act** have the legal right to review your records. Furthermore, it does not make economical or historical sense to permanently store records that have no possibility of ever being used by the public.

Please see Appendix D for the House and Senate forms, or download from the Confidential Records section of the FAQs for Legislators web page, <https://www.tsl.texas.gov/arc/faqforleg/faqindex.html>



You should be aware that providing public access under Chapter 306 and Chapter 323 does not waive the mandatory exceptions of the Texas Public Information Act. Legislative records must, and will, continue to be reviewed to enforce access restrictions. Such restrictions prevent the release, for example, of medical records, the identities of social-service benefit recipients, juvenile offender information or information covered by common-law privacy.



5.4 Final Records Transfer

Whether transferring directly to the State Archives or from the State Records Center, contact the Accessions Archivist ((512) 475-1734) to arrange for the records' acceptance at the State Archives.

Chapter 6

Archival Custody: What Happens to Your Records

Due to their uniqueness—they can't be replaced or re-created—archival records are invaluable. Anything of value has costs associated with it, and this is true for records; every record received by the archives incurs a cost. Some of the costs are obvious: salaries, supplies, basic overhead in the form of electricity, space, etc. While it is possible to calculate the costs of preserving records, the costs to society of not identifying and preserving records of enduring value is incalculable. Records protect the rights, property and identity of our citizens. Archivists take this responsibility very seriously.

When an archival repository agrees to accept records, archivists perform five core activities in order to prepare the records for permanent preservation and use:

- Appraisal
- Accession
- Arrangement
- Description
- Reference

6.1 Appraisal

Archivists often consider appraisal one of the most intellectually satisfying, but difficult tasks they perform. Appraisal is defined as "the process of determining whether records and other materials have permanent (archival) value." Archivists can appraise at the item level of an individual record (such as weeding out duplicates), through to an entire group or series of records. While this process may sound simple, there are cultural, historical and ethical considerations, because, in effect,

Texas Stories

Check out the Texas State Archives website for online exhibits that illustrate the rich & unique history and culture of this state. These exhibits showcase a small sample of the state's documents and photographs.

Current exhibits include:

Texas Treasures
Portraits of Texas Governors
The McArdle Notebooks
Forever Free
Votes for Women!
Pioneer Texas Architects
Texas Railroad Commission
Indian Relations in Texas
The Story of the Texas Navy
Presidents of the Republic of Texas
Texas Annexation
The Story of Texas State Parks
Life in Civil War Texas
Texas Prison System's First 100 Years
Civilian Conservation Corps

<https://www.tsl.texas.gov/exhibits/index.html>



Float, 1927, Prints & Photographs Collection, TSLAC

the archivist is shaping the cultural and historical record and determining what story will be told today and in the future.

Fortunately, the Texas State Archives, in partnership with the Texas House of Representatives and Texas Senate, has already determined that your legislative records are necessary and important to the telling of Texas history. The Records

Retention Schedule of each legislative body lists those records having enduring archival value.



Texas State Library, 1910, TSLAC

6.2 Accession

Accessioning involves activities related to the legal and physical transfer of records to an archival repository. It includes packing records, reviewing the general content of record boxes, completing legal paperwork and transporting the records to the archives. As codified in the Records Retention Schedule, when a particular records series meets its retention period, even when not yet *physically* transferred, legal custody of the legislative records is transferred to the Texas State Archives. Completion of the "Statement of Intent under Texas Government Code Chapter 306 & Chapter 323" form and actual physical transfer of the records completes the accession process.

6.3 Arrangement

Arranging and describing records is at the heart of what archivists do on a daily basis. Arrangement encompasses both intellectual and physical activities, and description allows records to be identified and accessed.

Arrangement is defined as "the process of organizing materials with respect to their **provenance** and **original order**, to protect their context and to achieve physical or intellectual control over the materials." **Provenance** is the principle of maintaining the integrity of origin and use so that records of different origins (provenance) are kept separate to preserve their context. **Original order** is the "organization and sequence of records established by the creator of the records."

Whenever possible, archivists try to maintain original order if it exists. Archivists, however, are not required to preserve "original chaos," and time and resources permitting, they may arrange records in a way that better facilitates their use by patrons.

6.4 Description

Description is "the process of creating a finding aid or other access tools that allow individuals to browse a surrogate of the collection to facilitate access." A finding aid is a general term used to describe any mechanism that facilitates an archives patron *finding* particular record(s); however, it is often used as a synonym for an **inventory**, which is a specific type of finding aid. The Texas State Archives website contains an index of **processed records** and publishes a portion of their finding aids online via TARO (Texas Archival Resources Online), a collaborative archival description database to which many of Texas' museums and archives contribute.

Visit <https://www.tsl.texas.gov/arc/findingaids/recordsfindingaids.html> to see an index of processed records.

Visit http://www.lib.utexas.edu/taro/browse/browse_tslac1.html to see a list of online finding aids for a portion of the processed records.

A "finding aid" has similar components and a common structure that helps researchers navigate different repositories' inventories, including:

- **Name of the body of material** and the date span of the documents included in it.
- **Administrative information** about the archival repository.
- **Overview information** pertaining to the specific material, such as its size, format of documents contained within, accession numbers, etc.
- **Historical or biographical note** that provides a brief biography about the individual or entity, details regarding why this person or entity is important to history and/or why their papers are of historic interest.
- **Scope and content note** which describes the arrangement and record series of the collection and the various media formats contained within. It may highlight particular documents of notable importance and identify gaps in the records.
- **Restrictions** on use, access and technical requirements for viewing the records.
- **Detailed description**, which lists the physical arrangement and includes the series, folders and in some cases individual items, as well as the box numbers.

Finding aids vary in the level of detailed description they provide users. Since archivists describe materials at the group level, often based on series—as opposed to libraries, which describe on the item level (for example, a book)—the descriptions are intended to give patrons an overview that provides the context of the material. In other words, archives patrons should not view one document in isolation, but rather in relation to other documents within the legislator's body of records.

6.5 Reference: Access and Use

Archivists don't preserve records simply to save them from destruction and deterioration or for some other political or personal motivation; they want the public to use them. Archivists provide reference services "to aid patrons in locating materials relevant to their interests." In order to facilitate this, archivists conduct a **reference interview** with the patron. This allows the archivist to assess the patron's research interests and information needs, assist in identifying relevant collections and instruct the patron in the proper handling and use of the archival material.



Texas State Archives, circa 1990s, *TSLAC*

6.5.1 Restricted information

Archivists understand that certain series of records found in legislative collections, such as constituent correspondence and case work, may contain personal and legally protected information. Before providing access to such information, archivists follow specific procedures, as codified in Texas law, for reviewing material before its release to the public.

The records, however, may be requested for research under the provisions of the Public Information Act (V.T.C.A., Government Code, Chapter 552). The researcher may request an interview with an archivist or submit a request by mail, fax or e-mail, including enough description and detail about the information requested to enable the archivist to accurately identify and locate the information requested. If the Texas State Archives review reveals information that may be excepted by the Public Information Act, archivists are obligated to seek an open records decision from the Attorney General on whether the records can be released. The Public Information Act allows the Archives ten working days after receiving a request to make this determination. The Attorney General has 45 working days to render a decision. Alternately, the Archives can inform the patron of the nature of the potentially

excepted information, and if the patron agrees, **that specific information can be redacted or the entire document removed** and the patron can access the remainder of the records.

6.5.2 Varied research purposes

Researchers access records for a variety of reasons. They often have a personal specific information need or are conducting academic research on a broad range of topics. State legislative records are a rich source of state data, and researchers often access them in order to uncover social and political trends because they offer an aggregate of data that may be useful to social scientists.



Texas Library and Archives, circa 1940s, TSLAC

Historians are often interested in issues not even directly related to the legislator *per se*, but in issues the legislator's identity reveals about his/her constituents; for example, voting patterns, particularly for specific groups of constituents that share a common ethnic, religious or class identity. Sociologists and historians may view constituent records not because they are interested in what one citizen believes, but to identify trends regarding what citizens collectively believe.

Often academic researchers are interested in the work of legislators as a collective group of participants in a process. Legislators are just one component of a three-branch system of government that is impacted by numerous internal and external forces. Researchers are often interested in a macro-level perspective, which often transcends what the individual member did or said on a particular day.

Researchers—as well as other legislators—often use records to study legislative intent; to determine what proposed or passed legislation was originally intended to accomplish, as well as to understand the implications of legislation passed in previous sessions.

Important Dates for Archives

March 16 — Freedom of Information Day

A national observance in recognition of the vital role of free information in a free and democratic society. It is observed on the birth date of James M. Madison, fourth president of the United States and author of the Preamble to the Bill of Rights.

April — Strategic Information Management Month

April 15, 1935 — Roerich Pact signed

One of the earliest international agreements addressing cultural heritage, it affirmed that monuments, museums, and scientific, artistic, educational and cultural institutions and their personnel were to be considered neutral in times of war and accorded respect and protection in peacetime.

May 1 — The May Day Project

All records and archives professionals are encouraged to take action on May 1 of each year to help ensure that they are prepared to respond to a disaster.

May 17 — World Information Society Day

July 4, 1776 — Issuance of the Declaration of Independence

One of the grievances enumerated against King George III was that "He has called together legislative bodies at places unusual, uncomfortable, and distant from the depository of their Public Records, for the sole purpose of fatiguing them into compliance with his measures."

Sept 5, 1950 — President Truman signs the Federal Records Act

Sept 25, 1946 — President Truman signs Executive Order 9784, ordering all federal agencies to begin a records management program

October — American Archives Month

Repositories across the country raise awareness of the value of archives and archivists through special outreach programs.

from The Archivist's Daybook, Society of Southwest Archivists,
<http://southwestarchivists.org/daybook>

In short, your records are essential to researchers from diverse backgrounds who have diverse research interests. Your records are unique and in some circumstances may be the only way certain information about this state and its citizens is revealed. Researchers use this information to increase our understanding of ourselves and the institutions we help create.

Your strong commitment to establishing a robust records management program within your office and allowing your communications to be open for research ensures a complete and accessible record of your contribution to this state.

Appendix A

Contacts-at-a-Glance

Jelain Chubb

State Archivist and Director of Archives & Information Services

(512) 463-5467

jchubb@tsl.texas.gov

<https://www.tsl.texas.gov/arc/index.html>

Contact for questions regarding:

—Completing and submitting the "Statement of Intent under Texas Government Code Chapter 306 & Chapter 323" form.

Laura Saegert

Assistant Director for Archives

(512) 463-5500

lsaegert@tsl.texas.gov

<https://www.tsl.texas.gov/arc/index.html>

Contact for questions regarding:

—Selecting a regional depository and to obtain approval for the transfer of your records there.

Rebecca Romanchuk

Accessions Archivist

(512) 475-1734

rromanchuk@tsl.texas.gov

<https://www.tsl.texas.gov/arc/index.html>

Contact for questions regarding:

—Assistance in determining what records to transfer to the Texas State Archives.

—The review process for restricted records according to the Public Information Act.

—Completing and submitting the "Statement of Intent under Texas Government Code Chapter 306 & Chapter 323" form.

—Arrangements for physical transfer of your records to the Texas State Archives.

Nanci Longoria

Records Management Officer, Texas Senate

(512) 463-0100

nanci.longoria@senate.state.tx.us

Contact for questions regarding:

- The Texas Senate Records Retention Schedule.
- Records Management systems and suggestions.
- Packing and storing your records prior to transfer to Texas State Archives.
- Completing all paperwork to physically transfer records to Texas State Archives.

James Freeman

Records Management Officer, Texas House of Representatives

(512) 463-0865

james.freeman@house.state.tx.us

Contact for questions regarding:

- The Texas House of Representatives Records Retention Schedule.
- Records Management systems and suggestions.
- Packing and storing your records prior to transfer to Texas State Archives.
- Completing all paperwork to physically transfer records to Texas State Archives.

State Records Center

<https://www.tsl.texas.gov/slr/storage.html>

Contact for questions regarding:

- Processing form RMD 106 (Records Center Storage Approval) or form RMD 101 (Transmittal of State Records):
Records Center Specialist
(512) 421-7256
- Scheduling records to be picked up:
Circulation Specialist
(512) 421-7254
- Requesting records, refiles, and interfiles:
Circulation Specialist
(512) 421-7254
- Resolving a problem with records retrieval and delivery or disaster recovery services, interpreting records center services policies and procedures:
Manager, Records Center Services
(512) 421-7250

Legislative Reference Library

State Capitol Building
1100 N. Congress Ave., Room 2N.3
(512) 463-1252
lrl.service@lrl.state.tx.us
<http://www.lrl.state.tx.us>

The primary purpose is to assist members of the Texas Legislature and their staffs as they research, consider and vote on proposed legislation. The library maintains a specialized collection of materials, such as legislative documents from other states, historical documents from state agencies, state universities and legislative entities and all bill files from the 63rd Legislative Session (1973) to the present.

Texas Legislative Council

Robert E. Johnson Sr. Legislative Office Building
1501 N. Congress Ave.
(512) 463-1155
<http://www.tlc.state.tx.us/about.htm>

The Texas Legislative Council provides bill drafting, computing, research, publishing and document distribution services to the Texas Legislature and legislative agencies.

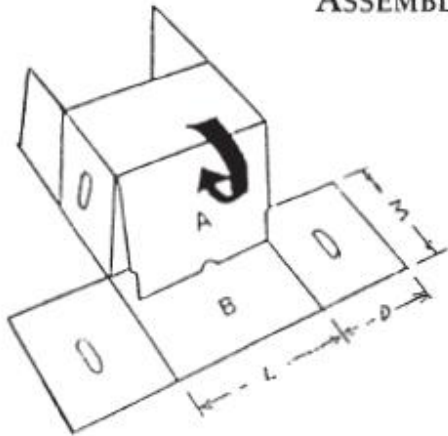
Contact for Questions Regarding:

—Assistance with preserving and copying your Correspondence Management System records upon leaving office.

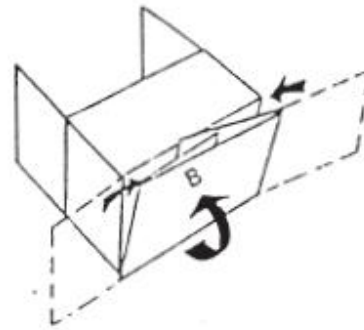
Appendix B

Box assembling, numbering, and labeling examples

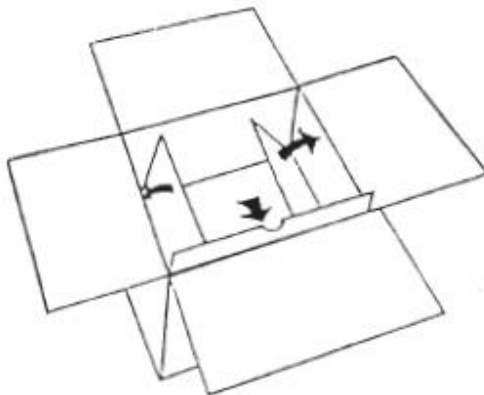
ASSEMBLY INSTRUCTIONS



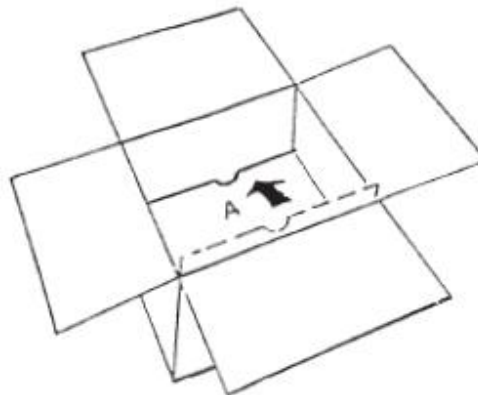
STEP 1. Square up box on its side, and fold flap A inside.



STEP 2. Fold extensions over on flap B, and fold to closed position.

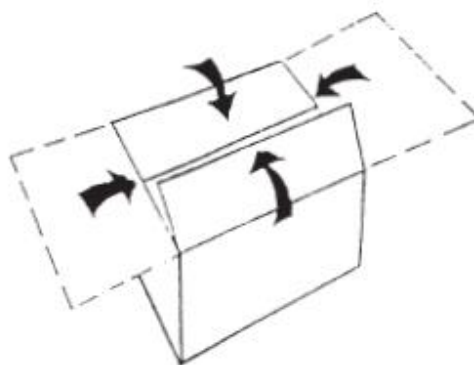


STEP 3. Lift flap A to vertical position, then lift and fold extensions of flap B up against end walls of box.

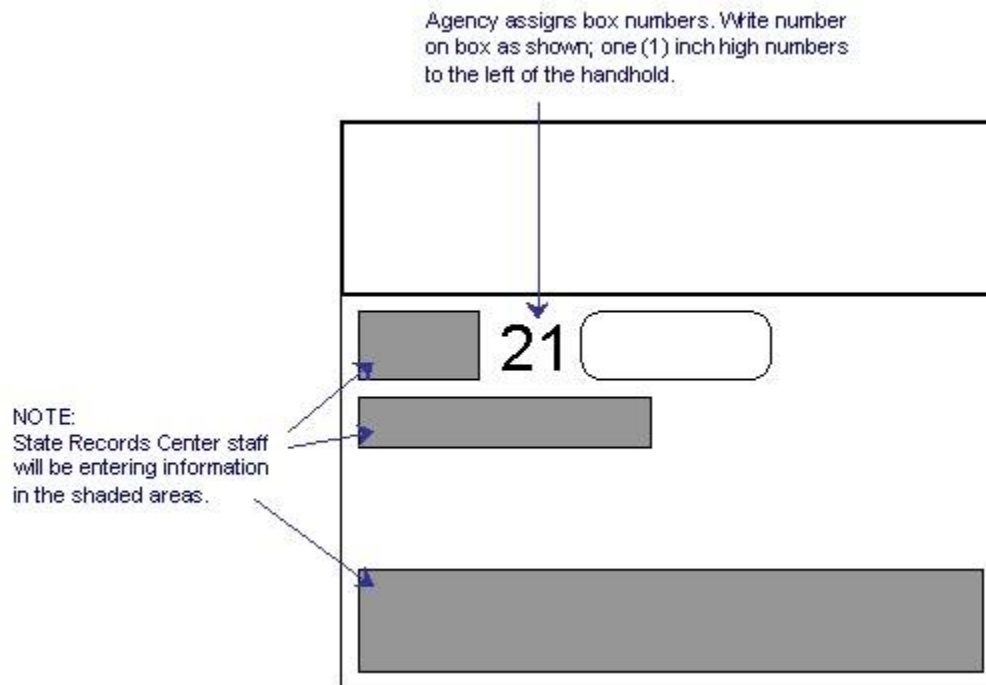


STEP 4. Lower flap A to bottom of box.

STEP 5. Fold all flaps in (small flaps first, large flaps last).



Numbering Boxes for Pick-up and Storage at the Texas State Records Center



Stacking and numbering boxes for pick-up and storage at the Texas State Records Center



Agency assigns box numbers. Write number on box as shown, 1-inch-high numbers to the left of the handhold.

Appendix C

Regional Historical Resource Depositories Contacts and Counties Housed

Angelo State University

West Texas Collection

Angelo State University

San Angelo TX 76909-5072

Counties housed: Coke, Concho, Crockett, Edwards, Fisher, Irion, Jones, Kimble, Mason, McCulloch, Menard, Mitchell, Nolan, Runnels, San Saba, Schleicher, Scurry, Sterling, Sutton, Taylor, Tom Green, Val Verde

Austin Public Library

Austin History Center

PO Box 2287

Austin TX 78768-2287

County housed: Travis

Baylor University

The Texas Collection

Baylor University

B.U. Box 97142

Waco TX 76798-7142

Counties housed: Bell, Bosque, Burnet, Coryell, Falls, Hamilton, Hill, Lampasas, Limestone, McLennan, Williamson

Dallas Public Library

1515 Young St.

Dallas TX 75201-5411

County housed: Dallas

George Memorial Library

Special Collections

George Memorial Library

1001 Golfview Dr.

Richmond TX 77469-5199

Counties housed: Austin, Brazoria, Fort Bend, Matagorda, Waller, Wharton

Midwestern State University

3410 Taft Blvd.

Wichita Falls TX 76308-2099

Counties housed: Archer, Baylor, Clay, Foard, Greer, Hardeman, Haskell, Jack, Knox, Throckmorton, Wichita, Wilbarger, Young

Paris Junior College

A. M. Aikin Regional Archives

Paris Junior College

2400 Clarksville St.

Paris TX 75460-6298

Counties housed: Delta, Fannin, Lamar, Red River

Sam Houston Regional Library and Research Center

PO Box 310

Liberty TX 77575-0310

Counties housed: Chambers, Galveston, Hardin, Harris, Jasper, Jefferson, Liberty, Newton, Orange, Polk, San Jacinto, Tyler

Sam Houston State University

Newton Gresham Library

Sam Houston State University

PO Box 2179

Huntsville TX 77340-2179

Counties housed: Anderson, Freestone, Grimes, Houston, Leon, Madison, Montgomery, Trinity, Walker

Sherman Public Library

PO Box 1106

421 North Travis St.

Sherman TX 75090

County housed: Grayson

Stephen F. Austin State University

East Texas Research Center

Stephen F. Austin State University

Box 13055, SFA Station

Nacogdoches TX 75962-3055

Counties housed: Angelina, Cherokee, Nacogdoches, Panola, Rusk, Sabine, San Augustine, Shelby

Tarleton State University

Dick Smith Library

Tarleton State University

Box T-0450, Tarleton Station

Stephenville TX 76402-0450

Counties housed: Brown, Callahan, Coleman, Comanche, Eastland, Erath, Mills, Palo Pinto, Shackelford, Stephens

Texas A&M International University

Special Collections and Archives

Sue and Radcliffe Killam Library

5201 University Blvd.

Laredo TX 78041-1900

Counties housed: Dimmit, LaSalle, Maverick, Webb, Zapata, Zavala

Texas A&M University – College Station

Sterling C. Evans Library

Texas A&M University – College Station

College Station TX 77843-5000

Counties housed: Brazos, Burleson, Colorado, Fayette, Lee, Milam, Robertson, Washington

Texas A&M University – Commerce

The Library

Texas A&M University – Commerce

Commerce TX 75428-3011

Counties housed: Bowie, Camp, Cass, Franklin, Gregg, Harrison, Hopkins, Hunt, Marion, Morris, Rains, Smith, Titus, Upshur, Van Zandt, Wood

Texas A&M University – Kingsville

South Texas Archives & Special Collections

James C. Jernigan Library

MSC 197

Texas A&M University – Kingsville

Kingsville TX 78363

Counties housed: Aransas, Bee, Brooks, Duval, Jim Wells, Kenedy, Kleberg, Live Oak, Nueces, Refugio, San Patricio

Texas Tech University

Library

Texas Tech University

Box 40002

Lubbock TX 79409-0002

Counties housed: Bailey, Briscoe, Castro, Childress, Cochran, Cottle, Crosby, Dickens, Floyd, Garza, Hale, Hall, Hockley, Kent, King, Lamb, Lubbock, Lynn, Motley, Parmer, Stonewall, Swisher, Terry, Yoakum

University of North Texas

University Archives

University of North Texas

Box 305190, UNT Station

Denton TX 76203-5190

Counties housed: Cooke, Denton, Montague, Wise

University of Texas at Arlington

University Library

University of Texas at Arlington

PO Box 19497

Arlington TX 76019-9497

Counties housed: Collin, Ellis, Henderson, Hood, Johnson, Kaufman, Navarro, Parker, Rockwall, Somervell, Tarrant

University of Texas at El Paso

University Library

University of Texas at El Paso

El Paso TX 79968-0582

Counties housed: Brewster, Culberson, El Paso, Hudspeth, Jeff Davis, Presidio

University of Texas at Pan American

Pan American Library

University of Texas at Pan American

1201 W. University Drive

Edinburg TX 78539

Counties housed: Cameron, Hidalgo, Jim Hogg, Starr, Willacy

University of Texas of the Permian Basin

4901 E. University Blvd.

Odessa TX 79762

Counties housed: Andrews, Borden, Crane, Dawson, Ector, Gaines, Glasscock, Howard, Loving, Martin, Midland, Pecos, Reagan, Reeves, Upton, Ward, Winkler

Victoria College/University of Houston – Victoria

Victoria Regional History Center

2602 North Ben Jordan St.

Victoria TX 77901-5699

Counties housed: Calhoun, DeWitt, Goliad, Gonzales, Jackson, Lavaca, Victoria

West Texas A&M University

Panhandle-Plains Historical Museum

West Texas A&M University

Box 967

Canyon TX 79016

Counties housed: Armstrong, Carson, Collingsworth, Dallam, Deaf Smith, Donley, Gray, Hansford, Hartley, Hemphill, Hutchinson, Lipscomb, Moore, Ochiltree, Oldham, Potter, Randall, Roberts, Sherman, Wheeler

Appendix D

Statement of Intent under Texas Government Code Chapter 306 and Chapter 323 forms

Texas House of Representatives, see pages 53-54

Texas Senate, see pages 55-56

Statement of Intent under Texas Government Code Chapter 306 and Chapter 323

In accordance with Texas Government Code sections 306.003, 306.004, and 323.017 (see below), I, Representative _____ of District _____, wish to make communications with citizens/residents of the State of Texas and with the Texas Legislative Council contained within my records available to the public in the following manner: (please circle and place your initials next to your choice)

- 1) My communications shall be opened to the public, with the understanding that providing public access under sections 306.003, 306.004, and 323.017 does not waive mandatory open records exceptions under the Texas Public Information Act. Legislative records will continue to be reviewed to enforce mandatory exceptions to the Act.
- 2) My communications shall be opened to the public on the following date:

- 3) My communications shall be permanently closed to the public.

Signature of the Representative

Date

Signature of the State Archivist

Date

§ 306.003: Records of a member of the legislature or the lieutenant governor that are composed exclusively of memoranda of communications with residents of this state and of personal information concerning the person communicating with the member or lieutenant governor are confidential. However, the member or the lieutenant governor may disclose all or a part of a record to which this subsection applies, and that disclosure does not violate the law of this state. The method used to store or maintain a record covered by Subsection (a) does not affect the confidentiality of the record.

Added by Acts 1987, 70th Leg., ch. 167, § 2.05(a), eff. Sept. 1, 1987.

§ 306.004: To ensure the right of the citizens of this state to petition state government, as guaranteed by Article I, Section 27, of the Texas Constitution, by protecting the confidentiality of communications of citizens with a member of the legislature or the lieutenant governor, the public disclosure of all or part of a written or otherwise recorded communication from a citizen of this state received by a member or the lieutenant governor in his official capacity is prohibited unless: (1) the citizen expressly or by clear implication authorizes the disclosure; (2) the communication is of a type that is expressly authorized by statute to be disclosed; or (3) the official determines that the disclosure does not constitute an unwarranted invasion of personal privacy of the communicator or another person. This section does not apply to a communication to a member of the legislature or the lieutenant governor from a public official or public employee acting in an official capacity. A member or the lieutenant governor may elect to disclose all or part of a communication to which this section applies, and that disclosure does not violate the law of this state.

Added by Acts 1987, 70th Leg., ch. 167, § 2.05(a), eff. Sept. 1, 1987.

§ 323.017: Communications, including conversations, correspondence, and electronic communications, between a member of the legislature or the lieutenant governor and an assistant or employee of the council [i.e., the Texas Legislative Council] that relate to a request by the official for information, advice, or opinions from an assistant or employee of the council are confidential. Information, advice, and opinions given privately by an assistant or employee of the council to a member of the legislature, or the lieutenant governor, acting in the person's official capacity, are confidential. However, the member or lieutenant governor may choose to disclose all or a part of the communications, information, advice, or opinions to which this section applies, and such a disclosure does not violate the law of this state.

Added by Acts 1987, 70th Leg., ch. 1053, § 2, eff. June 20, 1987. Renumbered from V.T.C.A., Government Code § 323.016 by Acts 1989, 71st Leg., ch. 2, § 16.01(25), eff. Aug. 28, 1989. Amended by Acts 2001, 77th Leg., ch. 1420, § 9.002, eff. Sept. 1, 2001.

Return this statement by mail or fax to:

Jelain Chubb
State Archivist
Archives and Information Services Division
Texas State Library and Archives Commission
PO Box 12927
Austin TX 78711-2927

Fax: (512) 463-5430

Statement of Intent under Texas Government Code Chapter 306 and Chapter 323

In accordance with Texas Government Code sections 306.003, 306.004, and 323.017 (see below), I, Senator _____ of District _____, wish to make communications with citizens/residents of the State of Texas and with the Texas Legislative Council contained within my records available to the public in the following manner: (please circle and place your initials next to your choice)

- 1) My communications shall be opened to the public, with the understanding that providing public access under sections 306.003, 306.004, and 323.017 does not waive mandatory open records exceptions under the Texas Public Information Act. Legislative records will continue to be reviewed to enforce mandatory exceptions to the Act.
- 2) My communications shall be opened to the public on the following date:

- 3) My communications shall be permanently closed to the public.

Signature of the Senator

Date

Signature of the State Archivist

Date

§ 306.003: Records of a member of the legislature or the lieutenant governor that are composed exclusively of memoranda of communications with residents of this state and of personal information concerning the person communicating with the member or lieutenant governor are confidential. However, the member or the lieutenant governor may disclose all or a part of a record to which this subsection applies, and that disclosure does not violate the law of this state. The method used to store or maintain a record covered by Subsection (a) does not affect the confidentiality of the record.

Added by Acts 1987, 70th Leg., ch. 167, § 2.05(a), eff. Sept. 1, 1987.

§ 306.004: To ensure the right of the citizens of this state to petition state government, as guaranteed by Article I, Section 27, of the Texas Constitution, by protecting the confidentiality of communications of citizens with a member of the legislature or the lieutenant governor, the public disclosure of all or part of a written or otherwise recorded communication from a citizen of this state received by a member or the lieutenant governor in his official capacity is prohibited unless: (1) the citizen expressly or by clear implication authorizes the disclosure; (2) the communication is of a type that is expressly authorized by statute to be disclosed; or (3) the official determines that the disclosure does not constitute an unwarranted invasion of personal privacy of the communicator or another person. This section does not apply to a communication to a member of the legislature or the lieutenant governor from a public official or public employee acting in an official capacity. A member or the lieutenant governor may elect to disclose all or part of a communication to which this section applies, and that disclosure does not violate the law of this state.

Added by Acts 1987, 70th Leg., ch. 167, § 2.05(a), eff. Sept. 1, 1987.

§ 323.017: Communications, including conversations, correspondence, and electronic communications, between a member of the legislature or the lieutenant governor and an assistant or employee of the council [i.e., the Texas Legislative Council] that relate to a request by the official for information, advice, or opinions from an assistant or employee of the council are confidential. Information, advice, and opinions given privately by an assistant or employee of the council to a member of the legislature, or the lieutenant governor, acting in the person's official capacity, are confidential. However, the member or lieutenant governor may choose to disclose all or a part of the communications, information, advice, or opinions to which this section applies, and such a disclosure does not violate the law of this state.

Added by Acts 1987, 70th Leg., ch. 1053, § 2, eff. June 20, 1987. Renumbered from V.T.C.A., Government Code § 323.016 by Acts 1989, 71st Leg., ch. 2, § 16.01(25), eff. Aug. 28, 1989. Amended by Acts 2001, 77th Leg., ch. 1420, § 9.002, eff. Sept. 1, 2001.

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Texas State Library and Archives Commission
PO Box 12927
Austin TX 78711-2927

Fax: (512) 463-5430

Appendix E

Bibliography

The following works were consulted in preparation of this manual:

Chestnut, Paul I. "Appraising the Papers of State Legislators," *American Archivist* 48 (2), (Spring 1985): 159-172.

One of the rare writings on the subject of state legislators' records; provided an overview of common records and issues, as well as the common research uses of such records.

Cox, Richard J., *Managing Records as Evidence* (Westport, Conn.: Greenwood Press, 2000).

An excellent book that underscores the need for collaboration between records managers and archivists. This book provided the basis for discussions relating to records principles, structure of a record, archival values and ensuring access to government public records.

Duranti, Luciana. "Reliability and Authenticity: The Concepts and Their Implications," *Archivaria* 39, 1994: 5-10.

This article provided the basis for discussion on reliability and authenticity of records.

Jones, H.G., *Local Government Records: An Introduction to Their Management, Preservation, and Use* (Nashville, Tenn.: American Association for State and Local History, 1980).

An excellent and ground-breaking book regarding the importance of establishing local government records programs. This book provided the basis for discussions relating to the definition of records, requirements for an archives program, records values and ensuring access to government records.

Moses, Richard Pearce, *A Glossary of Archival and Records Terminology* (Chicago: Society of American Archivists, 2005). <http://www.archivists.org/glossary/index.asp> [available online; accessed 6/18/08]

This glossary provided the archival world's definition of archives and records management terms.

O'Toole, James M. and Richard J. Cox, *Understanding Archives & Manuscripts* (Chicago: Society of American Archivists, 2006).

This is a key manual in training archivists. This book provided the basis for discussions relating to the archivist's perspective, values and ethics.

Paul, Karen Dawley, *Records Management Handbook for United States Senators and Their Repositories*, 3rd Edition (Washington, D.C.: United States Senate, 2002).

United States senators and their staff members are the intended audience for this excellent manual. One of the very few, if not only, examples of a manual that guides the development of a records management program within an elected official's office, this manual provided the basis for the chart that lists common function, records types and records management solutions. An excellent resource.

Phillips, Faye, *Congressional Papers Management* (Jefferson, NC & London: McFarland & Co. Inc. Publishers, 1996).

This ground-breaking book provides an excellent and thorough discussion about the nature of United States congressional records, from creation to archival preservation. Though geared to congressional records, much can be applied to state legislative records and this manual would not have been possible without this book. It provided the basis for discussions relating to records ownership, common legislative functions, common record formats, suggested records series and general records maintenance.

Texas State Library and Archives Commission, Archives and Manuscripts, "The State Archives Answers FAQs for Legislators,"

<https://www.tsl.texas.gov/arc/faqforleg/faqindex.html>

An excellent resource for legislators and their staff. This website provided the basis for the manual's framework and, in order to facilitate consistency, much of the specific legal and procedural text was taken directly from this website, including discussions about confidentiality, packing and preparing boxes and Texas government statutes.

Appendix F

About this manual

Amy E. Armstrong, a graduate student at the School of Information at the University of Texas at Austin, wrote this manual in summer 2008. It was completed for the Capstone project in partial fulfillment of the requirements for her master of science degree in information studies.

Thanks to Rebecca Romanchuk, Nancy Alliegro, Janice Vastine, Stacy Pearson and Dr. David B. Gracy II for their assistance and contribution to this manual.

This manual was last edited by State Archives staff in February 2014.

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Also open for
researchers on
the 2nd Saturday
of each month

